



*City of Middletown  
Records Management Commission  
Minutes of August 27, 2015 Meeting  
Corrected September 24, 2015*

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Present: Linda Bettencourt, City & Town Clerk (Chair); Tayna Oliver-Perry, Asst. Director of Finance; Sylvia Morello, Program Budget Analyst, Finance Dept.; Eldon Bailey, Acting IT Director; Pat Tully, Interim Assistant Library Director, Russell Library; George Dunn, Director of Emergency Management

Absent: Joe Samolis, Chief of Staff; Bill Russo, Director of Public Works; Brig Smith, General Counsel.

1. Chair calls the meeting to order at 1:05pm.
2. The minutes are approved, with the corrections suggested by Eldon Bailey and Tayna Oliver-Perry.
3. Public Comments: None.
4. Old Business:
  - a. George Dunn (GD) has agreed to be Vice Chair, and Pat Tully (PT) has agreed to be Secretary.
  - b. Discussion of Ordinance Duties Chapter 14, Article XIV:

The ordinance is our charge. We need to prioritize these and possibly break them up and assign them to groups in order to accomplish. For Linda Bettencourt (LB), the development of an emergency and business continuity plan is the first priority. Much essential information is in electronic form, which is overseen by Eldon Bailey (EB).

EB is staff to the Technology Advisory Committee, which is developing a plan to keep centralized data secure and accessible in case of a disaster. Policies need to be written and implemented. They are contracting with a company that will maintain an off-site copy of electronic records in the cloud, by linking an 'on-site appliance' with the records to an 'off-site appliance' that can be used to restore electronic data in case of a disaster. However, it will be necessary to have servers, computers and other hardware to do the restore, and these might well be lost in a disaster. Due to lack of staff time, the department has little time to develop these policies and procedures.

What is currently backed up is whatever is on the server, but not what is stored on local drives. The server data is backed up daily, with several incremental backups during the day. There is enough space to backup the current data and a limited amount of archival data, but not to store past backups in order to have a history to go to when files are corrupted.

GD passed around two handouts: One from FEMA, ‘Essential Records Plan Packet Template,’ and the other, ‘Supporting Personnel, Vital Records, Equipment, Supplies, and Vendors.’

GD reviewed the duties specified in the Ordinance, noting particularly:

*B. The Commission shall develop an approved centralized records center, which shall include approved on-site and off-site storage facilities. This centralized record center should include electronic and hard copy storage as appropriate.*

*C. The Commission shall develop an Emergency Disaster Plan specifically designed to preserve and protect City records. Each department should develop an Emergency Disaster Plan for itself, in addition to the central plan developed for City Hall. The FEMA template is helpful in developing the plan. The key question in developing this plan is: What information and records would it take to get up and running in the event of a major disaster? Each department should have its own plan for resuming essential operations in the event of a disaster.*

Decentralizing the storage of records, so each department stores its own essential records, minimizes the risk—since all City records are not stored in a single location—and permits each department to more quickly recover since they will have developed the plan themselves and will have easier access to the documentation they have stored.

*D. The Commission shall determine how to manage and organize the permanent archive of the City’s records to preserve public records with intrinsic historic value that are dated prior to 1920. The Commission shall evaluate conservation treatments for such records, make recommendations for reversing any damaging treatments and establish a policy for the future treatment of such records to prevent loss or damage. Outside agencies and companies can help with this; we need to develop a policy to routinize the future treatment of these documents.*

*E. The Commission shall apply to the Connecticut State Library for grants available through the Historic Document Preservation Grant Program and shall make recommendations to the Mayor and the Common Council concerning the expenditure of City funds to achieve the goals of this article. We will look into these grants.*

EB indicated that the governing ordinance for his Technology Advisory Committee (TAC) is 23.18—LB said we will review this at our next meeting to see how it overlaps or complements our charge.

GD noted that TAC and our committee give each other leverage in requesting resources from the City to carry out our charges—as long as this does not give the appearance that the two committees are redundant. Instead our committees are symbiotic, each with a distinct and essential charge but each of which support the other’s efforts.

The idea is to have a centralized records center for the City that links to the departmental centers. LB noted that digitized records for most departments already exist in the City's system.

Review of the FEMA template. Many of the systems vendors used by the City and City departments can be used to assist with records recovery in the event of a disaster. Each department should fill out the template, in part because only the department can determine which are their essential records in terms of disaster planning.

\* Linda will request from FEMA a Word version of the template to send to each City department.

GD said that the plan for departments to complete the template must be adopted by the Mayor's Office, with a mandate for departments to prepare and maintain a COOP plan for essential records, succession and personnel. This should be required of each department.

Review of the Worksheet 3 handout. This is a useful tool for the creation of a departmental plan. GD recommends training for departments—either internally or using contracted trainers.

What is the top priority in the event of a disaster?

- Getting people paid, so they can take care of their family's needs and continue to maintain City services.
- Finding an alternate location for City Hall or departments, with the proper equipment and systems.
- Must make sure that essential records are being backed up. In Middletown there are very few staff to do this (3 in Middletown v. 12 in Manchester in 2007, which has a robust records management process).
- GD noted that planning before a disaster will allow City government to get back up and running with minimal delays, giving the community the support it needs to recover from disaster without devolving into chaos.

Next step:

- Linda and George will schedule a meeting with the Mayor to get his support for requiring departments to prepare a COOP plan.

c. Prime Demo: We will hold off on this for now. EB notes that the use of Prime for scanning documents is in the development stage, with pilot projects in Public Works and, in part, the Office of the General Counsel. To fully implement this in all City departments, more time will be needed to develop workflows that will enable the system to move from development to production mode.

LB noted as well that the standards for scanning records has recently changed. For records that are to be kept permanently, the scanned version is not enough—either the original print or a microfilm copy must be kept as well.

\* Linda will contact Mike Milardo from Public Works to confirm that a second copy of scanned meeting minutes are being retained.

5. New Business:

- EB noted challenges due to lack of time and funding. It would be more cost-effective to hire an internal person to be in charge of records management activities in City departments, rather than hiring a consultant or company to do so.

6. Other: No other business.

7. Adjournment at 2:20pm.

*Submitted,*

*Pat Tully, Secretary*